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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/762,330

01/23/2004

Satoru Tanaka

1046.1306

4953

21171 7590 05/09/2011

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EXAMINER

LANIER, BENJAMIN E

ART UNIT

PAPER NUMBER

2432

MAIL DATE

DELIVERY MODE

05/09/2011

PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b> 10/762,330	<b>Applicant(s)</b> TANAKA, SATORU	
	<b>Examiner</b> BENJAMIN E. LANIER	<b>Art Unit</b> 2432	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 25 April 2011.
- 2a) ☒ This action is **FINAL**.                      2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-14, 19-24, 29 and 30 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-14, 19-24, 29 and 30 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)         | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____                                      |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)         | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____   | 6) <input type="checkbox"/> Other: _____                          |

## **DETAILED ACTION**

### ***Response to Amendment***

1. Applicant's amendment filed 25 April 2011 amends claims 1, 3, 5, 7, 9-13, and 29. Claims 15, 17, 18, and 25-28 are cancelled. Applicant's amendment has been fully considered and entered.

### ***Response to Arguments***

2. Applicant argues, "Herrmann merely discusses providing the user with information for facilitating updating the anti-virus application (engines)...Herrmann does not disclose 'causes the user apparatus to set the security of the user apparatus' by a program send to the user apparatus." This argument has been fully considered and is persuasive. Therefore, the rejection has been withdrawn. However, upon further consideration, a new ground(s) of rejection is made in view of Rowland, U.S. Publication No. 2002/0129264.

### ***Claim Rejections - 35 USC § 103***

3. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. The factual inquiries set forth in *Graham v. John Deere Co.*, 383 U.S. 1, 148 USPQ 459 (1966), that are applied for establishing a background for determining obviousness under 35 U.S.C. 103(a) are summarized as follows:

1. Determining the scope and contents of the prior art.
2. Ascertaining the differences between the prior art and the claims at issue.
3. Resolving the level of ordinary skill in the pertinent art.

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4. Considering objective evidence present in the application indicating obviousness or nonobviousness.
5. Claims 1-14, 19-24, 29-30 are rejected under 35 U.S.C. 103(a) as being unpatentable over Herrmann, U.S. Publication No. 2003/0055994, in view of Rowland, U.S. Publication No. 2002/0129264. Referring to claims 1, 5, 9, 13, 19, 21, 23, Herrmann discloses providing anti-virus cooperative enforcement wherein network access is permitted/denied based upon whether the client computer virus definition files are updated ([0050] & [0071] & [0073] & [0076] & [0081]), which meets the limitation of a security management device, an apparatus for a user and a security setting guide device in communication via a network, security detection unit detecting a security level of a user application, a judging unit judging whether the security level of the user apparatus reaches a predetermined security level, the detecting is based upon whether the user apparatus accesses the virus information computer at a predetermined level. Herrmann discloses that if the client computer is determined to be non-compliant, a sandbox server can provide access to the required anti-virus updates or information about where such updates may be obtained ([0051]), which meets the limitation of an access control unit, in case the judging unit judges the security level of the user apparatus does not reach the predetermined security level, to restrict as a restriction range an access permission range on a network of the user apparatus to be within a predetermined range on network. Herrmann discloses the use of agents installed on the client that communicate with the server ([0063]). However, Herrmann does not specify that agents are distributed to the clients from the server or that the anti-virus updates are performed by the agents. Rowland discloses the use of distributed agents ([0137]) that are used to perform network security scanner updates ([0147]), which meets the limitation of the security management device sends a program to the user apparatus and causes the user apparatus to set

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the security of the user apparatus by executing the program when the security level of the user apparatus does not reach the predetermined security level. It would have been obvious to one of ordinary skill in the art at the time the invention was made for the agents of Herrmann to have been distributed to the clients from the server and to perform the anti-virus updates in order to provide distributed agents capable of moving between systems that can perform security updates in a fast manner as suggested by Rowland ([0137] & [0147]).

Referring to claims 2, 6, 10, 20, 22, 24, Herrmann discloses that if the client computer is determined to be compliant, the client is permitted access to the network ([0050]), which meets the limitation of the access control unit, in case the judging unit judges that the security level of the user apparatus reaches the predetermined level, sets a range wider than the restriction range as the access permission range of the user apparatus, in case the judging unit judges that the security level of the user apparatus has reached the predetermined security level, does not restrict the access permission range on the network by the user apparatus.

Referring to claims 3-4, 7-8, 11-12, 14, Herrmann discloses that if the client computer is determined to be non-compliant, a sandbox server can provide access to the required anti-virus updates or information about where such updates may be obtained ([0051]), which meets the limitation of the access control unit has a function of controlling a communication route of the user apparatus and, in case the judging unit judges that the security level of the user apparatus does not reach the predetermined level, as the restriction range controls a communication destination of the user apparatus to the security setting guide server management device, the security setting guide server management device controls updating the virus definition file of the user apparatus, in case the judging unit judges the security level of the user apparatus does not

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reach the predetermined security level, connects the user apparatus to the security setting guide device.

Referring to claims 29-30, Herrmann discloses providing anti-virus cooperative enforcement wherein network access is permitted/denied based upon whether the client computer virus definition files are updated ([0050] & [0071] & [0073] & [0076] & [0081]), which meets the limitation of security detection unit to detect a security level of a user apparatus based upon a virus definition file of the user apparatus, a judging unit to judge whether the security level of the user apparatus reaches a predetermined security level. Herrmann discloses that if the client computer is determined to be non-compliant, a sandbox server can provide access to the required anti-virus updates or information about where such updates may be obtained ([0051]), which meets the limitation of an access control unit to restrict as a restriction range an access permission range on a network of the user apparatus to be within a range on network to which a security setting guide server management device belongs, the access control unit restricts the user apparatus to access and/or become accessible to apparatuses within the first range on the network including the security management device and an apparatus that provides the virus definition file to the user apparatus. Herrmann discloses that if the client computer is determined to be complaint, the client is permitted access to the network ([0050]), which meets the limitation of set the access permission range on the network to a second range that exceeds the first range when the judging unit judges the security level of the user apparatus reaches the predetermined security level. Herrmann discloses the use of agents installed on the client that communicate with the server ([0063]). However, Herrmann does not specify that agents are distributed to the clients from the server or that the anti-virus updates are performed by the agents. Rowland discloses the

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use of distributed agents ([0137]) that are used to perform network security scanner updates ([0147]), which meets the limitation of the security management device sends a program to the user apparatus and causes the user apparatus to set the security of the user apparatus by executing the program when the security level of the user apparatus does not reach the predetermined security level. It would have been obvious to one of ordinary skill in the art at the time the invention was made for the agents of Herrmann to have been distributed to the clients from the server and to perform the anti-virus updates in order to provide distributed agents capable of moving between systems that can perform security updates in a fast manner as suggested by Rowland ([0137] & [0147]).

### *Conclusion*

6. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

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7. Any inquiry concerning this communication or earlier communications from the examiner should be directed to BENJAMIN E. LANIER whose telephone number is (571)272-3805. The examiner can normally be reached on M-Th 7:00am-5:30pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gilberto Barron can be reached on 571-272-3799. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Benjamin E Lanier/  
Primary Examiner, Art Unit 2432